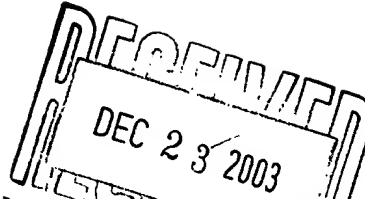




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PTO/SB/21 (08-00)

2132  
#BT  
12-23-03

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/993,340

Filing Date Nov 16, 2001

First Named Inventor England

Group Art Unit 2132

Examiner Name Barron, G.

Total Number of Pages in This Submission

Attorney Docket Number MS1-955US

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## ENCLOSURES (check all that apply)

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| <input checked="" type="checkbox"/> Fee Transmittal Form                     | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                            |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s) Sheets  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
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| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):            |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer  | PTO Form 1449; 17 cited references; return postcard  |
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| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application   |   |  |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Allan T. Sponseller, Reg. No. 38,318
Signature	
Date	12/15/03

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: 12/15/03

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0.00

## Complete if Known

Application Number 09/993,340  
Filing Date Nov 16, 2001  
First Named Inventor England  
Examiner Name Barron, G.  
Art Unit 2132  
Attorney Docket No. MS1-955US

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Deposit Account Number 12-0769  
Deposit Account Name Lee & Hayes, PLLC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

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## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$ ) 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0.00

## SUBMITTED BY

(Complete if applicable)

Name (Print/Type) Allan T. Sponseller  
Registration No. 38,318  
Telephone (509) 324-9256  
Signature [Signature]  
Date 12/15/03

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No. ....09/993,340  
Filing Date .....Nov 16, 2001  
Inventorship ..... England  
Applicant ..... Microsoft Corporation  
Attorney's Docket No. .... MS1-955US  
Title: Transferring Application Secrets in a Trusted Operating System Environment

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**INFORMATION DISCLOSURE STATEMENT**

*References -- See Attached Form PTO-1449*

**REMARKS**

The citations listed, copies attached, are submitted in compliance with the duty of disclosure defined in 37 CFR §1.56. The Examiner is requested to make these citations of official record in this application.

Respectfully Submitted,

Date: 12/15/03

By: [Signature]

Allan T. Sponseller  
Reg. No. 38,318

+

**Complete if Known**

*(use as many sheets as necessary)*

Sheet 1 of 3

<b>Application Number</b>	09/993,340
<b>Filing Date</b>	11/16/2001
<b>First Named Inventor</b>	England et al.
<b>Group Art Unit</b>	2132
<b>Examiner Name</b>	Barron, G.
<b>Attorney Docket Number</b>	MS1-955US

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

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Date Considered	
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		Application Number	09/993,340
		Filing Date	11/16/2001
		First Named Inventor	England et al.
		Group Art Unit	2132
		Examiner Name	Barron, G.
		Attorney Docket Number	MS1-955US
Sheet	2	of	3

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		✓ Facing an Internet Security Minefield, Microsoft Hardens NT Server Defenses", Young R., Windows Watcher, 09/12/97, Vol. 7, Issue 9, p1, 6p, 1 chart.	
		✓ "Phoenix Technologies Partners with Secure Computing in Enterprise Security Marketplace", July 12, 2001, Business Wire, Courtesy of Dialog Text Search, Pg. 1-2.	
		✓ Murphy et al., "Preventing Piracy: Authorization Software May Ease Hollywood's Fear of the Net", Internet World Magazine, April 1, 2000, 3 pages.	
		✓ "Internet Security: SanDisk Products and New Microsoft Technology Provide Copy Protected Music for Internet Music Player Market. (Product Announcement)", Edge: Work Group Computing Report, April 19, 1999, 2 pages.	
		✓ Arbaugh et al., "A Secure and Reliable Bootstrap Architecture", Distributed Systems Laboratory, Philadelphia, PA, 1997, pp. 65-71.	
		✓ Lampson et al., "Authentication in Distributed Systems: Theory and Practice", Digital Equipment Corporation, ACM Transactions on Computer Systems, Vol. 10, No. 4, November 1992, pp. 265-310.	
		✓ Clark et al., "Bits: A Smartcard Protected Operating System", Communications of the ACM, Vol. 37, No. 11, November 1994, pp. 66-70, 94.	
		✓ Yee, "Using Secure Coprocessors", School of Computer Science, Carnegie Mellon University, 1994, 104 pgs.	
		✓ Abadi et al., "Authentication and Delegation with Smart-cards", July 30, 1992, 30 pgs.	
		✓ Schneier, B., "Applied Cryptography", Applied Cryptography. Protocols, Algorithms, and Source Code in C, 1996, pp. 574-577.	
		✓ "Secure Management Information Exchange", Bhatti et al., Journal of Network and Systems Management, Vol. 4, No. 3, 1996, pages 251-277.	

Examiner Signature	Date Considered
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Publication Number	09/993,340		
		Filing Date	11/16/2001		
		First Named Inventor	England et al.		
		Group Art Unit	2132		
		Examiner Name	Barron, G.		
Sheet	3	of	3	Attorney Docket Number	MS1-955US

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		"Security Enhancement for the "Simple Authentication Key Agreement Algorithm" ", Lin et al., IEEE 2000, pages 113-115.	
		"Techniques for secure execution of mobile code: a review", J.M. Mas-Ribes and Benoit Macq, Ann. Telecommun., 55, n 7-8, 2000, pages 1-9.	
		"Security Agility for Dynamic Execution Environments", Petkac et al., IEEE 1999, pages 377-390.	

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